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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/802,672	03/16/2004	Sourabh Satish	SYMAP044	2680

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EXAMINER
DEBNATH, SUMAN

ART UNIT	PAPER NUMBER
2135	

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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

	Application No.	Applicant(s)
Office Action Summary	10/802,672	SATISH, SOURABH
	Examiner	Art Unit	
	SUMAN DEBNATH	2135	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE *3* MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on *11 April 2008*.

2a) ☒ This action is **FINAL**.   2b) ☐ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) *1-9 and 11-17* is/are pending in the application.

   4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) *1-9, 11-17* is/are rejected.

7) ☐ Claim(s) _____ is/are objected to.

8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.

   Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

   Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   a) ☐ All   b) ☐ Some * c) ☐ None of:

   1. ☐ Certified copies of the priority documents have been received.

   2. ☐ Certified copies of the priority documents have been received in Application No. _____.

   3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

   * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO/SB/08)
   Paper No(s)/Mail Date _____.

4) ☐ Interview Summary (PTO-413)
   Paper No(s)/Mail Date. _____
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

DETAILED ACTION

1.   Claims 1-9 and 11-17 are pending in this application.

2.   Claims 1 and 16-17 are currently amended.

3.   Claims 10 and 18-20 were previously cancelled.

4.   The text of those sections of Title 35, U.S. Code not included in this action can

be found in a prior Office Action.

Claim Rejections - 35 USC § 103

5.   Claims 1-9 and 11-17 are rejected under 35 U.S.C. 103(a) as being unpatentable

over Tajalli et al. (Pub. No.: US 2004/0143749 A1) (hereinafter "Tajalli") and further in

view of Connor et al. (Pub. No.: US 2005/0038981 A1) (hereinafter "Connor") and Li et

al. (Patent No.: US 7,143,392 B2) (hereinafter "Li").

6.   As to claim 1, Tajalli discloses a method of providing security, comprising:

        accessing a file configured to store operational information comprising an

identification of one or more resources accessed by a process during initialization of the

process ([0020], [0057], see also FIG. 4, [0063] – [0066], [0134]),

        determining a first behavior using the operational information, wherein the first

behavior is associated with the process ([0066], "...define the permitted behavior of

applications running on the agents", see also [0044], [0054], [0109], [0127]);

monitoring the process ([0053], [0063]); comparing a second behavior with the

first behavior, wherein the second behavior is attempted by the process [0133],

"unacceptable behavior", see also [0044], [0082]); and

performing a predetermined responsive action if the second behavior is different

from the first behavior ([0081] –[0082], see also [0133]-[0134]);

Tajalli doesn't explicitly disclose which file an operating system with which the

process is associated, or a component or module of the operating system, is configured

to use in the event of a subsequent initialization of the process to prefetch at least one

of said one or more resources prior to access to said at least one of said one or more

resources being requested by the process; wherein determining the first behavior

includes parsing the file to identify the one or more resources.

However, Connor discloses which file an operating system with which the

process is associated, or a component or module of the operating system, is configured

to use in the event of a subsequent initialization of the process to prefetch at least one

of said one or more resources prior to access to said at least one of said one or more

resources being requested by the process (abstract, [0017]). Therefore, it would have

been obvious to one of ordinary skill in the art at the time of the invention was made to

modify the teaching of Tajalli as taught by Connor in order to accelerate the initialization

process of the operating system.

Although Tajalli teaches determining the first behavior includes processing files

to identify the one or more resources ([0109], [0054]), neither Tajalli nor Connor

explicitly disclose parsing the file. However, Li discloses parsing the file (col. 12, lines

30-46). Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to modify the teaching of Tajalli and Connor as taught by Li in order to provide "an improvement in runtime monitoring and characterization for a computer system (Li, col. 3, lines 45-55)."

7.   As to claims 16 and 17, these are rejected using the same rationale as for the rejection of claim 1.

8.   As to claim 2, Tajalli discloses in an event the second behavior is determined to be different from the first behavior, the second behavior is determined to be disallowed ([0133], "unacceptable behavior", see also [0044], [0081], [0082]).

9.   As to claim 3, Tajalli discloses wherein the first behavior is one of a plurality of behaviors determined using the operational information (([0066], "…define the permitted behavior of applications running on the agents", see also [0044], [[0051], 0054], [0109], [0127]).

10.   As to claim 4, Tajalli discloses wherein the first behavior is one of a plurality of behaviors determined using the operational information ([0066], "…define the permitted behavior of applications running on the agents", see also [0044], [0054], [0109], [0127]), and in the event the second behavior is determined to be different from the plurality of

behaviors, the second behavior is determined to be disallowed ([0133], "unacceptable

behavior", see also [0044], [0081], [0082]).

11.   As to claim 5, Tajalli discloses further comprising determining that the second

behavior is disallowed ([0133], "unacceptable behavior", see also [0081], "...as

applications request and use resources, looking for requests or uses that depart from

the acceptable behavior").

12.   As to claim 6, Tajalli discloses further comprising determining that the second

behavior is disallowed and performing a predetermined action ([0133], [0106], [0081]).

13.   As to claim 7, Tajalli disclose wherein the predetermined action includes

preventing the second behavior from succeeding ([0133], [0106], [0081]).

14.   As to claim 8, Tajalli discloses wherein the predetermined action includes

generating an event associated with the second behavior ([0081], [0082], [0106], "log

data").

15.   As to claim 9, Tajalli discloses wherein determining the first behavior using the

operational information is performed when the process is not operating ([0066], [0082]).

16.   As to claim 11, Tajalli doesn't explicitly disclose wherein the operational

information is used to improve process initialization time. However, Connor discloses

wherein the operational information is used to improve process initialization time

(abstract, [0017]). Therefore, it would have been obvious to one of ordinary skill in the

art at the time of the invention was made to modify the teaching of Tajalli as taught by

Connor in order to accelerate the initialization process of the operating system.

17.   As to claim 12, Tajalli discloses wherein the operational information is configured

on a per user basis ([0205], "The Profiler 1102 ca be used by users to generate BCDs

305 for their own custom applications").

18.   As to claim 13, Tajalli discloses wherein the operational information includes

component access information ([0020], "...each process set has a corresponding

behavior control description, and controlling access to system resources by each

process ..").

19.   As to claims 14 and 15, Tajalli discloses a database (FIG. 4). Tajalli doesn't

explicitly disclose includes a prefetch file. However, Connor discloses prefetch file

(abstract, [0017]). Therefore, it would have been obvious to one of ordinary skill in the

art at the time of the invention was made to modify the teaching of Tajalli as taught by

Connor in order to accelerate the initialization process of the operating system.

20.   Examiner's note: Examiner has cited particular columns and line numbers in the
references as applied to the claims above for the convenience of the applicant.
Although the specified citations are representative of the teachings in the art and are
applied to the specific limitations within the individual claim, other passages and figures
may be applied as well. It is respectfully requested from the applicant, in preparing the
responses, to fully consider the references in entirety as potentially teaching all or part
of the claimed invention as well as the context of the passage as taught by the prior art
or disclosed by the examiner.

Response to Arguments

21.   Applicant has amended claims 1, 16-17, which necessitated new ground of
rejection. Please see rejection above.

Conclusion

22.   Applicant's amendment necessitated the new ground(s) of rejection presented in
this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP
§ 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37
CFR 1.136(a).

        A shortened statutory period for reply to this final action is set to expire THREE
MONTHS from the mailing date of this action. In the event a first reply is filed within
TWO MONTHS of the mailing date of this final action and the advisory action is not
mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the date of this final action.

23.   Any inquiry concerning this communication or earlier communications from the

examiner should be directed to SUMAN DEBNATH whose telephone number is

(571)270-1256. The examiner can normally be reached on 8 am to 5 pm.

        If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Kim Y. Vu can be reached on 571 272-3859. The fax phone number for the

organization where this application or proceeding is assigned is 571-273-8300.

        Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

published applications may be obtained from either Private PAIR or Public PAIR.

Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see http://pair-direct.uspto.gov. Should

you have questions on access to the Private PAIR system, contact the Electronic

Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a

USPTO Customer Service Representative or access to the automated information

system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/S. D./

Examiner, Art Unit 2135

/H. S./
Primary Examiner, Art Unit 2135